



PATENT
ATTORNEY DOCKET NO. FINN-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#151a
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162100 MAIL ROOM

In re application of)
Gregory M. Finn et al.)
Title: INVESTMENT SYSTEM AND METHOD)
Application No.: 09/547/409)
Filed: April 12, 2000)

Group Art Unit: 2768

Examiner: Not known

Assistant Commissioner of Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

Sir:

Prior to examination of the above-referenced application, please amend the application as follows:

IN THE CLAIMS:

Amend claims 1-7 and add new claims 8-20, as follows:

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BL

1. (Amended) An investment system comprising:

at least one investor;

at least one financial market; and

an investment vehicle, the investment vehicle enabling the at least one investor to selectively

buy and sell interests in each of a plurality of different individual securities traded on the at least one financial market;